SunCoke Energy, Inc. Form 4 February 21, 2017

## FORM 4

# UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

if no longer subject to Section 16. Form 4 or Form 5

Check this box

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF **SECURITIES** Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934,

obligations Section 17(a) of the Public Utility Holding Company Act of 1935 or Section may continue. 30(h) of the Investment Company Act of 1940 See Instruction

1(b).

(Print or Type Responses)

1. Name and Address of Reporting Person \* Gates Katherine T

2. Issuer Name and Ticker or Trading Symbol

SunCoke Energy, Inc. [SXC]

(Last) (First) (Middle) 3. Date of Earliest Transaction

(7:-

(Month/Day/Year)

1011 WARRENVILLE ROAD, STE. 02/18/2017 600

(Street)

(State)

4. If Amendment, Date Original

Filed(Month/Day/Year)

5. Relationship of Reporting Person(s) to

**OMB** 

Number:

Expires:

response...

**OMB APPROVAL** 

Estimated average

burden hours per

3235-0287

January 31,

2005

0.5

Issuer

(Check all applicable)

Director 10% Owner Other (specify X\_ Officer (give title below)

Sr VP & General Counsel

6. Individual or Joint/Group Filing(Check

Applicable Line) \_X\_ Form filed by One Reporting Person Form filed by More than One Reporting

Person

**LISLE, IL 60532** 

| (City)                 | (State) (A                           | Table                   | I - Non-De      | erivative S                | Securi           | ities Acq    | uired, Disposed o                              | f, or Beneficial          | ly Owned  |
|------------------------|--------------------------------------|-------------------------|-----------------|----------------------------|------------------|--------------|--|---------------------------|---|
| 1.Title of<br>Security | 2. Transaction Date (Month/Day/Year) |                         |                 | (A) or Disposed of         |                  |              | 5. Amount of Securities                        | 6. Ownership Form: Direct | 7. Nature of Indirect Beneficial Ownership (Instr. 4) |
| (Instr. 3)             |                                      | any<br>(Month/Day/Year) | Code (Instr. 8) | (D)<br>(Instr. 3, 4 and 5) |                  | Owned Indire | (D) or<br>Indirect (I)<br>(Instr. 4)           |                           |   |
|                        |                                      |                         | Code V          | Amount                     | (A)<br>or<br>(D) | Price        | Reported<br>Transaction(s)<br>(Instr. 3 and 4) |                           |   |
| Common<br>Stock        | 02/18/2017                           |                         | M               | 1,463                      | A                | \$0          | 5,685  | D                         |   |
| Common Stock (1)       | 02/18/2017                           |                         | F               | 533                        | D                | \$<br>9.99   | 5,152  | D                         |   |

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

Persons who respond to the collection of SEC 1474 information contained in this form are not (9-02)required to respond unless the form displays a currently valid OMB control number.

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## Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

| 1. Title of<br>Derivative<br>Security<br>(Instr. 3) | 2.<br>Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction Date (Month/Day/Year) | 3A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 4.<br>Transactic<br>Code<br>(Instr. 8) | 5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) | 6. Date Exercisable and<br>Expiration Date<br>(Month/Day/Year) |                    | 7. Title and Amount of<br>Underlying Securities<br>(Instr. 3 and 4) |  | 8. Price<br>Deriva<br>Securit<br>(Instr. |
|---|---|--------------------------------------|---|--|---|--|--------------------|---|--|--|
|   |   |                                      |   | Code V                                 | (A) (D)   | Date<br>Exercisable  | Expiration<br>Date | Title   | Amount<br>or<br>Number<br>of<br>Shares |  |
| RSU's<br>(Feb<br>2015) (2)                          | (3)   | 02/18/2017                           |   | M                                      | 1,463   | <u>(4)</u>   | <u>(4)</u>         | Common<br>Stock   | 1,463                                  | \$ (                                     |

## **Reporting Owners**

Reporting Owner Name / Address Relationships

Director 10% Owner Officer Other

Gates Katherine T 1011 WARRENVILLE ROAD, STE. 600 LISLE, IL 60532

Sr VP & General Counsel

## **Signatures**

/s/ Rita M. Slager, attorney-in-fact

02/21/2017

\*\*Signature of Reporting Person

Date

## **Explanation of Responses:**

- \* If the form is filed by more than one reporting person, see Instruction 4(b)(v).
- \*\* Intentional misstatements or omissions of facts constitute Federal Criminal Violations. See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).
- (1) Shares withheld by Registrant to satisfy minimum statutory withholding requirements on vesting of restricted common stock units.
- (2) Grant of restricted share units awarded pursuant to the SunCoke Energy, Inc. Long-Term Performance Enhancement Plan in a transaction exempt under Rule 16b-3. The restricted share units vest in three equal annual installments commencing on February 18, 2016.
- (3) Conversion rate is 1 for 1.
- (4) Not applicable.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure. Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB number.

Reporting Owners 2